

Assisted Living Community

ALC-03 Resident Preferences and Goals of Care

Process Steps

5 Steps for ALC Abstraction and submission

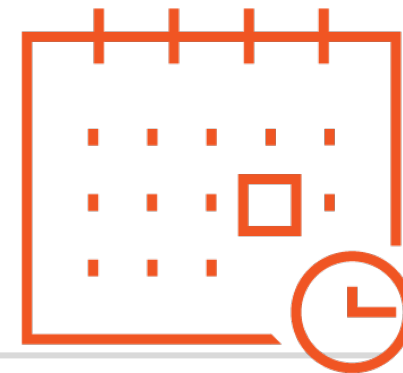
1. Determine the quarter of data you are planning to submit
2. Refer to the associated Specification Manual
3. Collect the denominator
4. Collect data for the measure in the numerator population
5. Enter data into DDS

Step 1:

Determine the quarter of data you are planning to submit:

- Quarter 1, 2, 3, or 4 for 20xx year
- Data is optional for CY2022/CY2023: any or all 4 quarters may be submitted
- Data is required for CY2024: all 4 quarters must be submitted
- For Reporting Requirements see the [Measurement](#) section of the external Joint Commission website:

<https://www.jointcommission.org/measurement/accreditation---alc/>



Step 2:

Refer to the associated Specification Manual on the [ALC webpage](#) under specifications.

Home > Measurement > Assisted Living Community (ALC)

ORYX Performance Measurement Reporting

Information about ORYX® reporting requirement for the Assisted Living Community (ALC) Accreditation Program.



Measurement

Measures	+
Specifications Manuals	+
Reporting	+
Pioneers in Quality	+
Resources	
ORYX FAQs	
Quality Measurement Webinars & Videos	+
Assisted Living Community (ALC)	

Facts about ORYX for ALC Program

- The Joint Commission's ORYX initiative integrates performance measurement data into the accreditation process.
- ORYX measurement requirements support Joint Commission-accredited organizations in their quality improvement efforts.

The following sections provide the ORYX reporting requirements for the respective year and links to important resources and supporting material.

2023 ORYX Reporting Requirements for ALC Program

+

Key Communications

+

Resources

+

Specifications

-

Measure specifications are detailed in the Specifications Manual which is accessible on The Joint Commission's website under the Specifications Manuals/Chart Abstracted Measures page.

Joint Commission Specifications Manuals

Step 2 (continued):

Refer to the associated ALC Specification Manual on the Chart Abstracted Measure Specifications Manuals home page.

<https://manual.jointcommission.org/Home/WebHome>

Chart Abstracted Measure Specifications Manuals

[? Have a question?](#)

[Hospitals and Outpatient Centers](#)

[Assisted Living Community](#)

[Health Care Staffing](#)

Q3/Q4 2023 - Version 2023B NEW Applicable 07-01-23 (3Q23) through 12-31-2023 (4Q23) Future +

Q1/Q2 2023 - Version 2023A Applicable 01-01-23 (1Q23) through 06-30-23 (2Q23) Current +

Q3/Q4 2022 - Version 2022B Applicable 07-01-22 (3Q22) through 12-31-22 (4Q22) Recent Past +

Q3 2021 - Version 2021B Applicable October 2021 through June 30, 2022 Recent Past +

Additional Documentation

Assisted Living Community (ALC) Certification Program Performance Measure Abstraction Template:

[ALC Abstraction Template](#)

Data Entry Guide for Chart-Abstracted Measures:

This guide describes the aggregate data requirements for Assisted Living Communities (ALC) submitting chart-abstracted measure data the Direct Data Submission Platform. The guide is available under the "Guide for Data Entry" section of the [Chart Abstracted Measures page](#) on The Joint Commission Website.

Step 2 (continued):

Assisted Living Community Measures

ENHANCED BY Google

Table of Contents

- [Acknowledgment and Conditions of Use](#)
- [Introduction](#)
- [Using the Manual for Assisted Living Community Measures](#)

Measure Sets

Section 1: Measure Information Forms

- [Assisted Living Community \(ALC\)](#)
 - [ALC-1](#)
 - [ALC-2](#)
 - [ALC-3](#)
 - [ALC-4](#)
 - [ALC-5](#)

Section 2: Data Dictionary

- [Introduction to the Data Dictionary](#)
- [Alphabetical List of Data Elements](#)

Section 3: Overview of Measure Information Form and Flowchart Formats

- [Overview of Measure Information Form and Flowchart Formats](#)

Step 3:

Collect denominator:
ALC-03 Gather a list of ALL New Residents who moved in during the month being reviewed

Denominator Statement: Number of residents who are new to the assisted living community each month.

Included Populations: Not applicable

Excluded Populations: Not applicable

Data Elements:

- **New Resident**



Name: **New Resident**

Collected For: [ALC-03](#), [ALC-04](#)

Definition: Number of new residents who moved in during the month being reviewed.

Question: **What is the number of new residents at the assisted living community at the end of the month?**

Format:
Length: 3
Type: Numeric
Occurs: 1

Allowable Values:
Number 0-199 or UTD

Step 3 (continued):

Collect denominator:

ALC-03 Gather a list of ALL New Residents who moved in during the month being reviewed

- The initial population = the denominator
- Add the number of new residents and put the count in the total population and denominator fields

*	Initial Populations (Initial Populations = Denominators)	Initial Populations (Initial Populations = Denominators)	Measures	Measures	Measures	Measures
Counts	Total Residents	New Residents	ALC-01 Off-Label Antipsychotic Drug Use	ALC-02 Resident Falls	ALC-03 Resident Preferences and Goals of	ALC-04 Advanced Care Plan/ Surrogate Decision Maker
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Total Population			*	*	*	*
Denominator			*	*	*	*
Numerator	*	*				
* These cells intentionally left blank.						

Step 4:

Collect numerator: Collect data for the measure in the numerator population

Numerator Statement: Residents who have documentation in their record of their preferences and goals of care.

Included Populations: Not applicable

Excluded Populations: Not applicable

Data Elements:

- **Resident Preferences and Goals of Care**

Name: Resident Preferences and Goals of Care

Collected For: ALC-03

Definition: There is documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals for care. Documentation should include a discussion on preferences and goals including, but not limited to:

- Hospitalization or transfer preference
- Medication management
- Wound care
- Activity planning
- Dietary services

Question: Is there documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals for care?

Format:
Length: 1
Type: Alphanumeric
Occurs: 1

Allowable Values:

Y (Yes) There is documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals for care.

N (No) There is no documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals for care or unable to determine.

Notes for Abstraction:

- A discussion about preferences and goals of care can be initiated by any member of the assisted living care team.
- Documentation must include the specific preferences discussed.
 - Example: "discussed hospitalization and if needed Mr. Smith does not wish to be transferred to the hospital."
- Goals of care are related to quality of life and may include rehabilitation or comfort care.
- Facilities should have a conversation with the resident about their preferences and goals of care. The measure is not capturing the number of preferences/goals discussed.
- For the purpose of this resident-centered measure, the documentation should indicate that the resident, family or surrogate was involved in the discussion of preferences and goals of care and care planning (i.e. that it was not completed solely by the clinician without input by the resident).
- Preferences and goals of care should be derived based upon the residents expressed preferences, values, needs, concerns and/or desires, through clinician-led discussion, professional guidance and support for resident and family decision making.
- Family is determined by the resident. Family may be defined as a person or persons who play a significant role in an individual's life.
- A surrogate decision-maker is someone legally appointed to make decisions on behalf of another. This individual can be a family member, or someone not related to the individual. A surrogate decision-maker makes decisions when the individual is without decision-making capacity or when the individual has given permission to the surrogate to make decisions. Such an individual is sometimes referred to as a legally responsible representative.
- If the resident or family declines to discuss the goals of care, and the documentation reflects this, select 'Yes'.

Step 4 (continued):

Collect data for the measure in the numerator population:

- Numerator Data Element “Resident Preferences and Goals of Care” – Is there documentation in the resident’s record that the assisted living care team discussed or attempted to discuss the resident’s preferences and goals of care?
- Add the number of residents for which you answered yes and put it in the Numerator field

*	Initial Populations (Initial Populations = Denominators)	Initial Populations (Initial Populations = Denominators)	Measures	Measures	Measures	Measures
Counts	Total Residents	New Residents	ALC-01 Off-Label Antipsychotic Drug Use	ALC-02 Resident Falls	ALC-03 Resident Preferences and Goals of	ALC-04 Advanced Care Plan/ Surrogate Decision Maker
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
Total Population			*	*	*	*
Denominator			*	*	*	*
Numerator	*	*				
* These cells intentionally left blank.						

Step 5:

Enter Data into DDSP:

Example: You abstract cases for the month of January. On January 31st there are 3 new residents who moved into the assisted living community that month. Your denominator will be 3. When you look back through the 3 resident's records, there were 3 residents who had documentation in their record of a discussion or attempt to discuss the resident's preferences and goals of care. Your numerator will be 3.

You enter in DDSP:

Denominator = 3; Numerator = 3

*	Initial Populations (Initial Populations = Denominators)	Initial Populations (Initial Populations = Denominators)	Measures	Measures	Measures	Measures
Counts	Total Residents	New Residents	ALC-01 Off-Label Antipsychotic Drug Use	ALC-02 Resident Falls	ALC-03 Resident Preferences and Goals of	ALC-04 Advanced Care Plan/ Surrogate Decision Maker
1	a			x		
2	b	x			x	x
3	c		x			
4	d					
5	e					
6	f	x	x		x	
7	g					
8	h	x			x	x
9	i					
10	j					
Total Population	10	3	*	*	*	*
Denominator	10	3	*	*	*	*
Numerator	*	*	2	1	3	2
* These cells intentionally left blank.						

Step 5 (continued):

Login to DDSP from [The Joint Commission website](#):

The screenshot shows the top navigation bar of The Joint Commission website. The logo is on the left, followed by a dropdown menu labeled 'Our Websites'. A search bar with the placeholder 'Search this site.' and a magnifying glass icon is next. A 'Login' button is highlighted with a red border. Below the navigation bar is a dark blue menu with links: 'Who We Are', 'What We Offer', 'Our Priorities', 'Standards', 'Measurement', and 'Resources'. The main content area is titled 'Login' and includes the instruction 'Select the login link below for the resource you desire to access.' There are three columns of login options:

- Joint Commission Connect®**: Accredited organizations have access to a dedicated extranet site on JC Connect. Buttons: 'Joint Commission Connect', 'Request guest access'.
- JCR® Store**: Browse products and services offered to help you with your accreditation journey. Buttons: 'Store', 'Create an account'. Link: 'Contact the store'.
- Joint Commission Direct Data Submission Platform (DDSP)**: Dedicated data submission platform for accredited organizations with ORYX Performance Measurement requirements. A button labeled 'Direct Data Submission Platform' is highlighted with a red border.

Step 5 (continued):

From home page select:
Chart-Abstracted Measure Submission




The screenshot shows the home page of the Direct Data Submission Platform (DDSP). The header includes the The Joint Commission logo, the organization name (999999813), and the location (Oakbrook Terrace, IL). A 'Mock HCO' button is also present. The main navigation bar includes a 'Home' button and a 'Switch HCO' button. The left sidebar contains a list of options: 'Invite & Manage Users', 'HCO Characteristics', 'eCQM Submission', 'Chart-Abstracted Measure Submission' (highlighted with a red box), and 'User Settings'. The main content area displays 'HCO Characteristics' with a table showing the Organization Name (Your Organization Name) and HCO ID (999999813). Below this, there are four tabs: 'Organization Information', 'EApp Data', 'Organization Requirements', and 'Extenuating Circumstances'. The 'Organization Information' tab is active, showing the HCO ID (999999813) and the Organization Legal Business Name (Your Organization Name).

HCO Characteristics	
Organization Name Your Organization Name Oakbrook Terrace, IL	HCO ID 999999813

Organization Information	EApp Data	Organization Requirements	Extenuating Circumstances
HCO ID 999999813			
Organization Legal Business Name Your Organization Name			

Step 5 (continued):

In the **Measure List** page: select the **'Open'** button for the measure to open the measure form

**The Joint Commission**

Your Organization Name (999999813)
Oakbrook Terrace, IL Mock HCO

Welcome HCO Oryx
Last Log In 02/20/2023 11:28 AM


 [Home](#) Direct Data Submission Platform (DDSP) [Switch HCO](#) [Need Help?](#) [Logout](#)

Chart-Abstracted Measure Submission

The entire calendar year must be submitted for each chart-abstracted measure. Data for seasonal measures (e.g., IMM-2) must be submitted for every quarter the measure is applicable. For mid-year changes in service line (e.g. obstetrical, ED, etc.) please notify The Joint Commission via Need Help? Ticket. The submission deadline for each quarter is below. [See ORYX Reporting for more information.](#)

Measure Year: 2022 ▾

Measure ID	Name	Q1 2022 <small>Closes 06-14-2023</small>	Q2 2022 <small>Closes 06-14-2023</small>	Q3 2022 <small>Closes 06-14-2023</small>	Q4 2022 <small>Closes 06-14-2023</small>	
ALC-01	Off-Label Antipsychotic Drug Use <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-02	Resident Falls <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-03	Resident Preferences and Goals of Care <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-04	Advanced Care Plan/ Surrogate Decision Maker <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open
ALC-05	Staff Stability <i>(Required)</i>	Not Started	Not Started	Not Started	Not Started	Open

Step 5 (continued):

ALC-03 form opens

1. Measure Name & Details
2. Quarter Tab
3. Month of quarter
4. Select “Edit”
5. Enable

The screenshot shows the ALC-03 form interface. A red box labeled '1' highlights the 'ALC-03 Resident Preferences and Goals of Care' section, which includes details like 'Direction Of Improvement : Increase in the rate', 'Measure Type : Process', 'Data reported as : Proportion', and 'Sub population : N/A'. An orange arrow labeled '2' points to the 'First Quarter 2022' tab, which is highlighted with a red box and shows 'Closes 06-14-2023'. An orange arrow labeled '3' points to the 'Jan' month selector, which is also highlighted with a red box and includes an 'Enable to submit data' toggle. An orange arrow labeled '4' points to the 'Edit' button, which is highlighted with a red box. An orange arrow labeled '5' points to the 'Enable to submit data' toggle for the 'Feb' month, which is highlighted with a red box. The form also includes fields for 'Denominator', 'Zero Denominator Case Attestation', 'Numerator', and 'Observed Rate', each with a 'Click \'Submit\' to Calculate' button. A 'Need Help?' link is at the bottom left.

ALC-03
Resident Preferences and Goals of Care

Details :
Direction Of Improvement : Increase in the rate
Measure Type : Process
Data reported as : Proportion
Sub population : N/A

Stratifications :
N/A

1

2

First Quarter 2022
Closes 06-14-2023

Second Quarter 2022
Closes 06-14-2023

Third Quarter 2022
Closes 06-14-2023

Fourth Quarter 2022
Closes 06-14-2023

Last modification:

3

Jan

Enable to submit data

Feb

Enable to submit data

5

Mar

Enable to submit data

4

Edit

Clear Data

Measure

Denominator

Zero Denominator Case Attestation

Numerator

Observed Rate

Click 'Submit' to Calculate

Click 'Submit' to Calculate

Click 'Submit' to Calculate

Need Help?

© 2022, The Joint Commission, Inc. All rights are reserved.

Step 5 (continued):

Enter Collected Data, then Submit

6. Denominator

7. Numerator

8. Submit

First Quarter 2022
Closes 06-14-2023

Second Quarter 2022
Closes 06-14-2023

Third Quarter 2022
Closes 06-14-2023

Fourth Quarter 2022
Closes 06-14-2023

Last modification:

Jan Feb Mar

Enable to submit data ☒ Enable to submit data ☒ Enable to submit data ☒

Measure

6 Denominator

Zero Denominator Case Attestation ☐ ☒ ☐

7 Numerator

Observed Rate

CAM: Submission Status

Home Page CAM Submission status:

1. The status of the active ALC is displayed under “status”
2. The Status for all ALCs the user has access to is displayed when clicking “Open” from the table below
3. The CAM Submission report for each ALC can be downloaded

The screenshot shows the 'CAM Submission Status' page for 'The Joint Commission'. The page header includes the organization name and ID (999999813), location (Oakbrook Terrace, IL), and a 'Mock HCO' button. The navigation bar has 'Home', 'Direct Data Submission Platform (DDSP)', and 'Switch HCO' buttons. The 'Submission Period' is set to '2022'. The main content area is divided into three sections: 'Your Organization Name (999999813)' with a status of '1Q2022 In Progress' and 'eCQM Status: eCQM Module Disabled'; 'Chart-Abstracted Measure Submission Status' with a table of submission statuses; and 'Important Updates' and 'Outstanding Tasks' sections. Annotations include: 1. A red arrow pointing to the 'Your Organization Name (999999813)' section. 2. A red arrow pointing to the 'Open' button for the 'Complete' status in the 'Chart-Abstracted Measure Submission Status' table. 3. A red arrow pointing to the 'Open' button for the 'Complete' status in the 'Chart-Abstracted Measure Submission Status' table.

Chart-Abstracted Measure Submission Status	
1Q 2022 - Submission Deadline 6-14-2023 11:59 PM	
0 Chart-Abstracted Module Disabled	Open
0 Chart-Abstracted ECR on file	Open
1 Not Started	Open
2 In Progress	Open
0 Complete	Open

Website Navigation for ALC-03 Measure



Transcript - Video Short for ALC-3: Resident Preferences and Goals of Care

March 2023

Hello and welcome to the video. Short for Assisted Living Community. ALC-03 Resident Preferences and Goals of Care.

Let's start with some basics. There are five steps for abstracting and submitting your measured data to The Joint Commission.

First, determine which quarter of data you will be submitting. Next, you will open the Specification Manual associated with the dates you will be abstracting and then next collect data for the measures in the Denominator and then the Numerator populations as defined in the Specification Manual. And finally, enter your data into the DDSP platform. Let's take a closer look at each step. The first step for Data Abstraction is to determine which quarter of data you are abstracting for. Data for all four quarters, so 12 months during a reporting year must be collected for the ALC Chart Abstracted measures. Let's say you are going to submit data on Q1 2022. You would need to abstract the measures for each month in the quarter, which is January, February, and March.

For step two, refer to the Associated Specification Manual. You will need to find the links to the Chart Abstracted manuals on The Joint Commission website. The ALC manual is found by going to Measurement and then Assisted Living Community. This page has all ALC the information; ORYX Requirements, Key Communications Resources, Specifications and Webinars. On this page you will click on the plus sign next to the Specification Manual. This will open the section and you can click on The Joint Commission Specifications manuals.

Now you are on the Chart Abstracted Measure Specification Manual Homepage. Select the Assisted Living Community Manual In the middle. At the bottom of this page is a link to an ALC Abstraction template. This template is optional but can assist in Abstractor in tracking Numerator and Denominator counts. There will also be a link to the data entry guide for Chart Abstracted measures, which is a reference for submitting your data. Use the Specification Manual for the applicable quarter of data you are abstracting click view web version and the specifications for each of the five measures will be available along with additional information for your Abstraction needs.

Here is a view of the table of contents in the Specification Manual. Since we are abstracting for ALC-03 measure, you would select three to view the specifications.

Step three would be to use the measure specifications to collect the Denominator for the measure using the Denominator data element. New resident in the Specification Manual for ALC-03. You would need to collect the number of new residents who moved in during the month being reviewed.



Here's a screenshot of the template which can be downloaded from the ALC manual home page. As you can see, you would count the total number of new residents who moved in during the month and enter this number as total population number and the Denominator for ALC-03. Step four in the Abstraction process, is to collect data for the measure in the Numerator population using the ALC-03 measure information in the Specification Manual you will see the data element for Numerator is Resident Preferences and Goals of Care. When you open the data element, you are to answer the question, "Is there documentation in the residents record that the assisted living care team discussed or attempted to discuss the residents preferences and goals of care?" Under notes for Abstraction, there are examples of what qualifies as an attempt or actual discussion regarding a residents preferences or goals of care and where this documentation can be found.

Using the Abstraction template, you would mark which residents you answered yes to and enter that number in the Numerator field.

Finally, step five is to enter the data into DDSP. In this example you are abstracting cases for the month of January. On January 31st, there are three new residents who moved into the Assisted Living Community that month. Your Denominator will be three. When you look back through the three residents records, there were three residents who had documentation in their record of a discussion or attempt to discuss the resident's preferences and goals of care. Therefore, your Numerator will be three. Log into the system via the login page on The Joint Commission website from the home page. Select Chart Abstracted Measure Submission. Find the measure you are submitting data on. For our example, you would select ALC-03. Click open on the right hand side of the screen.

On the submission form, you will see the header with the measure name and details. You can select the tab for the quarter you are submitting data for. On the quarterly submission tab. You will see the months in the quarter. Click "Edit" to allow for data entry. When the form is in edit mode, a submit button replaces the clear button. However, after you submit the data, the clear button becomes enabled so you can clear data to reenter if needed. Before entering the data in the Denominator and Numerator field, you need to use the toggle button under the month for which you are submitting data to activate the fields.

Enable toggle allows data entry for each month and in case there are errors in other months, you can still enter and submit one month at a time. As you can see, for the month of January in quarter one of 2022, the Denominator was three and the Numerator was also three. The system automatically calculates the observed rate shown in blue, click Submit.

On the DDSP homepage, you will see the status of the organization measure submission. If multiple organizations are under one system and data is submitted by a single user, the user can click open and see the status of measures for each individual organization. Finally, a submission report can be downloaded by clicking on the link download Submission report.

Now we will show you the Measure Specification Manual as it relates to abstracting ALC-03. On the Measure homepage, click on the Assisted Living Community Manual.



As you can see, the ALC Abstraction template is available for download on this page. Select the manual associated with the dates being abstracted. Click on View Web Version From the Table of Contents page. You can see the measures additional sections for information on using the manual and release notes for the updated manuals, click on ALC-03. Here you see the Measure Information Form. For Measure Abstraction, you want to see the Denominator and Numerator sections. As you can see here, the Denominator statement is the number of residents who are new to the Assisted Living Community each month. The data element to provide guidance on Abstraction is called New Resident. Click on this data element.

The Data Element page lists the name which measures it is collected for the definition and question for abstraction. It also provides the allowable values you need to answer the question. For the data element new resident. The allowable value would be a number between 0 and 199 or unable to determine. Back on the Measure Information Form. You will now look to the Numerator statement, which is the number of residents who have documentation in the record of their preferences and goals of care.

The data element for the Numerator is Resident Preferences and Goals of Care. Click on the data element and you will see you are to answer the question. Is there documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals of care? The allowable values are, Yes, there is documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals of care. Or No, there is no documentation in the resident's record that the assisted living care team discussed or attempted to discuss the resident's preferences and goals of care or unable to determine. This data element has notes for Abstraction, which provide guidance on answering the question for the data element under the notes for Abstraction, there are examples of what qualifies as an attempt or actual discussion regarding a resident's preferences or goals of care and where this documentation can be found.

Now that you have the Denominator and Numerator counts, you can enter the data in the template if you opted to use this tool and also into the DDSP.

For more information on the DDSP platform, see the ALC onboarding webinar, video or the video short. Links are located on the Confluence Page, which is available on the ALC web page under Resources and FAQs. Thank you.